



Public Health
Agency of Canada

Agence de la santé
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AUDIT REPORT

INFORMATION AND RECORDS MANAGEMENT

Audit Services Division

November 2009

Approved by Chief Public Health Officer
on December 15, 2009

Canada 

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Executive Summary

1. The objectives of the audit were to assess: the operational effectiveness of information and records management practices in the Public Health Agency of Canada (PHAC or the Agency); the extent to which PHAC's information and records management practices comply with Treasury Board (TB) policies and the requirements of the *Library and Archives Act of Canada Act*; and to identify opportunities for improvement.
2. We examined key activities related to information management (IM) and the Agency's recordkeeping infrastructure. However, for reasons of significance and internal audit function resources, we did not examine the management of the Access to Information and Privacy function of the Agency, compliance with the protection and security of information specified in the *Government Security Policy* nor the information exchanged with our external stakeholders and the mechanisms or processes in place to facilitate this exchange.
3. *TB Policy on Information Management* holds the Deputy Head responsible for the provision of effective and well-coordinated IM throughout the Agency. In addition, employees are responsible for applying IM principles, standards, and practices as expressed in TB and departmental frameworks, policies, directives, and guidelines in the performance of their duties, and for documenting their activities and decisions.
4. A significant amount of records has not yet been classified. This compromises PHAC's ability to locate information when needed and increases the costs of tracking information. In this respect, the Agency is not complying with *TB Policy on Information Management*. Moreover, a shortage of dedicated IM specialists in the program areas adds to PHAC's difficulties in managing its information appropriately.
5. The responsibilities for IM in PHAC are divided among IM/IT and organizational units. The Chief Information Officer (CIO) is responsible for approximately half of the IM specialists. National Capital Region Program Branches, Laboratories and Regional Offices, manage their own IM specialists. Having no direct or functional authority over many IM specialists makes it difficult for the CIO to exercise formal monitoring practices and has contributed to the lack of consistency in IM practices.
6. A common core competency profile covering all IM specialists has not been developed nor has an Agency-wide IM training plan addressing IM core competencies of IM employees been produced. In addition, IM training and awareness sessions have not been delivered to all Agency staff.
7. The Agency does not have approved framework and policies for the IM function. While the Office of the CIO has developed draft material along these lines, this

material has yet to receive formal approval for implementation throughout the Agency.

8. A risk assessment, which would provide the necessary parameters to develop the IM operational plan, has not been conducted for the IM function. In addition, standard operating procedures and monitoring activities have not been implemented Agency-wide.

Conclusion

9. PHAC IM function is in a nascent state and it requires significant improvement in order to ensure operational effectiveness of information and records management practices in PHAC, and full compliance with TB policies and directives.
10. Key areas requiring improvements which would bring PHAC's management of IM to an acceptable level of compliance and performance include:
 - implement appropriate IM framework, policies, Agency-wide standard operating procedures and monitoring activities;
 - make all IM specialists either accountable and/or report functionally to the CIO;
 - develop and implement a comprehensive risk assessment and operational plan with appropriate IM resources;
 - determine a core competency profile for the IM community;
 - develop and deliver Agency-wide mandatory training and awareness sessions; and
 - fully implement an Electronic Document and Records Management System.

Management Response

11. The Agency's management agrees with our findings and recommendations and a management action plan is presented in Appendix B.

Background

12. The Government of Canada (GoC) defines information management (IM) as a discipline that directs and supports effective and efficient management of information in an organization, from planning and systems development to disposal or long-term preservation. IM encompasses records, documents, data, publications, and information architecture. Integrating information management considerations into all aspects of the Agency's business enables information to be used and recognized as a valuable asset.
13. Information is an essential component of effective public health management. The availability of high-quality information to decision makers supports the delivery of programs and services, thus the Agency to be responsive and accountable to Canadians. The shift from reliance on paper to electronic records is increasing the complexity of IM.
14. PHAC utilizes IM specialists to manage its IM function. An IM specialist analyzes, organizes, maintains, and administers information and records holdings for a business unit using manual and electronic tools to classify, catalogue, index, cross-reference, retrieve and dispose of information and records. Such specialists require an in-depth understanding of the theories, principles, techniques, practices, national and international standards and trends in IM, including life cycle management, the utilization of classification standards, classifying, abstracting and indexing, records keeping, and archiving of information and records.
15. Over the years, several different classification structures were used with varied levels of success by Health Canada (HC) and PHAC prior to the adoption of the Departmental Functional Classification Structure (DFCS) in November 2007. When the Agency was created in 2004, thousands of legacy records were transferred from HC using a number of different classification structures.
16. The DFCS is the current classification structure and it is composed of 17 administrative functions and four operational functions. Each function is subdivided into specific activities. As of November 2009, a total of 124 activities, or classification codes, had been developed.
17. Historically, five classification structures have been used to classify records (refer to Appendix D for a description). Specific classification structures are used to classify financial and human resources records. Three classification structures are still used today to classify records and are all used by the Livelink Record Server (LRS).
18. The LRS is an electronic tool that provides comprehensive life cycle management of records and information holdings in paper format. It is also the key tool to search and track all paper records classified within the LRS.

19. The IM function is led by the Office of the Chief Information Officer (OCIO). For fiscal year 2008-09, the OCIO managed an IM budget of \$1,669,867 (\$1.8M planned for 2009-10) including 21 full time employees. Of the 21 employees, seven are dedicated to the governance function including policy and procedures development, awareness training, and IM electronic tools. The remaining 14 employees provide support to the NCR corporate services and litigation services. We identified an additional 21 employees dedicated to the IM function, allocated between regional offices, laboratories and programs that are not included in the OCIO budget and who are not accountable to the CIO. The responsibilities of these employees vary significantly.

About the Audit

Audit Objectives

20. The Audit Committee of PHAC approved the conduct of the audit of Information and Records Management as part of the Agency's risk-based audit plan for fiscal year 2009-10.
21. The objectives of the audit were to assess: the operational effectiveness of information and records management practices in PHAC; the extent to which PHAC's information and records management practices comply with Treasury Board (TB) policies and the requirements of the *Library and Archives of Canada Act*; and to identify opportunities for improvement.

Scope of Audit

22. The scope of the audit included an examination of key activities related to IM: the design, development and operation of the function, dissemination, and governance. This audit focused on the Agency's recordkeeping infrastructure; the extent to which paper and electronic records are classified, stored, retrieved and disposed of in accordance with the Agency's approved recordkeeping policies.
23. For reasons of significance and internal audit function resources, we did not examine the management of the Access to Information and Privacy function of the Agency, compliance with the protection and security of information specified in the *Government Security Policy* nor the information exchanged with our external stakeholders and the mechanisms or processes in place to facilitate this exchange.

Approach and Methodology

24. The audit was conducted in accordance with the TB *Policy on Internal Audit* and the Institute of Internal Auditors' (IIA) *International Standards for the Professional Practice of Internal Auditing*, except that no external assessment was performed to demonstrate that PHAC's internal audit function complied with the IIA *Standards and Code of Ethics*.

25. The audit team used a combination of audit methodologies, including:
- reviewing relevant documents associated with the management and control of IM assets such as policies, documented processes, and IM assets inventory;
 - interviewing managers and key personnel directly or indirectly involved in the management and control of the IM function and operations; and
 - performing tests of the procedures to record and trace information in order to determine if those operational procedures were working as intended.
26. The audit was conducted from June to November 2009.

Audit Findings and Recommendations

Governance

Framework and Policies

27. According to TB *Policy on Information Management*, the Deputy Head (the Chief Public Health Officer) is responsible for effective and well-coordinated information management throughout the Agency. Additionally, the *Policy* stipulates that employees are responsible for applying IM principles, standards, and practices as expressed in TB and departmental frameworks, policies, directives, and guidelines in the performance of their duties, and for documenting their activities and decisions. Expert services such as records, library, and data management provide specialized IM support to departments.
28. This responsibility has been delegated to the CIO and from the CIO to the IM Group within the OCIO.
29. We expected that the CIO would have developed an IM Vision Statement and IM Strategic Objectives that are explicitly linked to the Agency's strategic business objectives and corporate IM Principles and Values and that these would have been approved by executive management.
30. We also expected that the OCIO would have:
- documented an IM accountability framework pertaining to the management of the IM function;
 - documented its related human resources strategy; and
 - implemented an effective structure to manage and deliver the IM function.
31. However, we found that only draft framework and policies exist for the IM function.
32. The draft IM framework indicates that the OCIO IM group is responsible for the IM function Agency-wide. In order to operationalize this framework, all IM specialists

would have to either be made accountable and/or report functionally to the CIO. This has significant organizational implications that are outlined in the report.

Recommendations

33. The Executive Committee should review and approve the Information Management framework and policies.
34. The *Information Management Policy* developed by the Chief Information Officer should state that all Information Management specialists should either be accountable and/or report functionally to the Chief Information Officer.

Planning

35. Planning for the IM function is one of management's major responsibilities. Planning links the Agency's vision and strategic objectives to its overall management of recorded information, including its portfolio of IM projects, and information products and services.
36. In support of the overall PHAC strategic objectives, the IM/IT Directorate developed its strategic plan, which was endorsed in February 2007 by the Executive Committee. The plan outlined three key overarching strategic areas to the Agency's business capabilities, which are:
 - implement Agency-wide IM/IT governance;
 - provide IM leadership and services; and
 - align IM/IT investments with key Agency priorities.
37. Some initial planning activities occurred in 2008. However an IM operational plan detailing the various initiatives proposed in the IM/IT strategic plan has yet to be developed. Furthermore, a risk assessment exercise has not been completed to provide the necessary parameters to develop the operational plan. The risk assessment is discussed in the Risk Management section of the report.

Recommendation

38. The Chief Information Officer should develop and implement a comprehensive operational plan for Information Management inclusive of reporting relationships, resourcing ratios, service delivery, and projects required to support the Information Management and Information Technology strategy.

Procedures and Standards

39. Many standard operating procedures have been developed to harmonize and standardize the Agency's IM operational activities but do not include all business locations of the Agency. In addition, there is no formal monitoring of established

procedures as required by TB *Policy on Information Management*. Having no direct or functional authority over many IM specialists makes it difficult for the CIO to exercise formal monitoring practices and has contributed to the lack of consistency in IM practices. The CIO authority over IM specialists is discussed in the Allocation of IM Resources section of the report.

40. Considering the importance of the H1N1 pandemic, the CIO communicated guidelines to all staff to keep, save, and create separate e-mail folders and directories to facilitate future tracking. The OCIO also developed standard operating procedures (SOP) for the Emergency Operations Centre (EOC). The purpose of the SOP is to structure all the information gathered during an emergency operations event based on the document and records management functions of the EOC.
41. Standards have not been developed to structure the network common share drives (commonly known as the “L” drive). Consequently, users have had the freedom to create their own folders and folder names and store electronic records in whatever folders they want using their own file names. This unstructured approach has led and continues to create difficulties when trying to locate electronic records. The introduction of the Records Documents and Information Management System (RDIMS) standard to a select few PHAC users will help to standardize folder names. The RDIMS is discussed in the next section of the report.

Recommendations

42. The Chief Information Officer should develop and implement an Agency-wide procedure manual to standardize the Information Management operational activities across PHAC.
43. The Chief Information Officer should ensure that monitoring activities take place to assess the compliance of Information Management operations in all PHAC.

IM Community

Staff Competency

44. We expected that the Agency would have a documented plan to ensure the availability of qualified people with IM knowledge and skills. The Agency does not have a common core competency profile covering all IM specialists. Without such core competency profile, it is difficult for the Agency to ensure the availability of qualified people with IM knowledge and skills.
45. The OCIO is aware that many IM specialists need to increase their technological skills in order to perform adequately in an evolving IM work environment. This is even more important since the Agency is gradually endorsing the RDIMS product suite. To respond to this need, the OCIO developed several training materials and

gave several training sessions. When LRS and DFCS were implemented, several courses were given to IM specialists. However, Agency-wide IM training plan addressing IM competencies of IM employees has not been produced.

Recommendation

46. The Chief Information Officer should leverage work done by Treasury Board and Government of Canada on core competencies and Information Management certification to determine a core competency profile for the Information Management community, and prepare and support an Agency-wide mandatory Information Management training plan based on current competencies.

IM Practices and Tools Related to Paper and Electronic Records

47. IM operational activities address the way information and records are categorized/catalogued effectively to support the Agency's business processes. IM operational activities also address the way the Agency's information can be retrieved to provide users with timely and convenient access as well as the retention and disposal of records to ensure the timely disposition of information subject to legal and policy obligations. We expected that the Agency followed key elements of the IM life cycle as specified in GoC policies.
48. **Records Classification and Retrieval.** The classification of records entails that records be organized in a logical and consistent fashion so that they can be easily located and retrieved in a timely manner. This activity is critical to the successful application of the IM life cycle.
49. As discussed earlier in the report, the LRS is the electronic tool used in the Agency that provides comprehensive life cycle management of records and information holdings in paper format. The LRS is also the key tool to search and track all IM classified paper records. One region was still not using the LRS.
50. We found that IM classified paper records could not always be tracked to the locations specified in the LRS and different classification structures were used to classify those records. Moreover, a significant number of records have not yet been classified. Existing controls did not prevent IM specialists sending paper records to the offsite storages without even using the LRS. Shortage of dedicated IM specialists in the program areas add to PHAC's difficulties in managing IM appropriately. The shortage of specialists is discussed in the Allocation of IM Resources section of the report.
51. **Records Documents and Information Management System (RDIMS).** In the absence of an Electronic Document and Records Management System, operational staff does not classify electronic records and thus store them, for the most part, in unstructured, and non standardized shared drives, personal drives, as well as in e-mail accounts.

52. The CIO initiated a RDIMS pilot, resulting in a response to the promise of deploying an electronic records management solution across the Agency. As a pilot, RDIMS was deployed to 20 NML employees as well as 120 IM/IT staff located in Winnipeg and the NCR. Pilot participants are currently being upgraded to the new RDIMS version which enables employees to save e-mails as well as electronic records currently saved in shared drives.
53. The CIO plans to use its current IM/IT budget to roll out RDIMS to an additional 200 users by the end of the 2009-10, thereby using as many of the 500 licences purchased from Public Works and Government Services Canada as soon as possible.
54. IM/IT RDIMS Technical Specialist and Project Leader explained to us their non-documented strategy to implement RDIMS throughout the Agency. Our discussions with another GoC department that recently implemented RDIMS exposed the pitfalls to avoid as well as the critical success factors associated with their own RDIMS implementation experience. PHAC's strategy has taken these factors into account.
55. PHAC faces many challenges associated with the management of both paper and electronic records. Decades worth of paper-based records are kept unclassified and stored. When classified, they are structured using different classification systems. Much of the electronic records at PHAC are not organized based on the same classification structure. Common shared drives are still used and the tracking of electronic information is difficult and time consuming. The high volume of records that have not been classified impacts PHAC's ability to locate information efficiently and effectively. In this respect, the Agency is not complying with TB *Policy on Information Management*.
56. Some recently implemented best practices were noted. The recent success with the RDIMS pilot offers an opportunity to enhance the retrieval of electronic information through the use of additional IM and information technology processes and tools.

Recommendation

57. The Office of the Chief Information Officer should prepare for Executive Committee approval a strategy to fully implement an Electronic Document and Records Management System.

Training and Awareness for Staff Other Than IM Specialists

58. We expected that the Agency had developed:

- an IM orientation, training and development program for the Agency workforce;
- an IM training and development program explicitly aligned with the IM Strategy and Plan;
- a training program for keeping Agency staff members informed about the Agency's information IM products and services; and
- literature on the IM products and services.

59. PHAC is faced with the challenge of effectively raising and consistently maintaining the level of IM awareness and education within the Agency. This requirement may stem from the introduction of new policies, requirement to increase awareness of responsibilities related to items such as document safeguarding and use of e-mail, or from the introduction of new systems. With the growing dependency on IM, ongoing awareness and education have become increasingly critical to the success of IM within the Agency. The 2009 draft PHAC *Information Management Policy* takes into account such training and awareness requirements.

60. The job description of the Chief of IM and Record Management states that the incumbent should lead the development and implementation of training to all Agency staff on their legal obligations and accountabilities for IM.

61. Several IM training and awareness activities took place across the Agency. However, these activities were far from reaching the entire PHAC audience since the activities were not delivered in a systematic and mandatory basis to all Agency staff. Most interviewees mentioned that the lack of knowledge, information, or awareness of IM issues are some of the main weaknesses contributing to inefficient IM.

Recommendation

62. The Chief Information Officer should develop and deliver mandatory Information Management awareness and training sessions to all Agency staff as an integral part of the approved Electronic Document and Records Management System implementation plan.

Risk Management and Resources for IM Activities

63. Managing information-based resources is recognized as a function as critical as managing financial and human resources. This has led to an increasing acceptance of IM, namely the coordinated management of an organization's information-based resources, including its information holdings and investments in technology, on the same level as other key management functions. It implies planning and managing

risks of the information-based resources to meet the Agency's goals and to deliver its programs and services.

64. All employees are responsible for applying information management principles, standards, and practices (as expressed in the *TB Directive on Information Management Roles and Responsibilities*) in the performance of their duties, and for documenting their activities and decisions.
65. Many of the documents reviewed addressed specific IM risk factors. However, we could not find a consolidation of these risks under one document such as a risk assessment specifically developed for the IM function. We believe that presenting a risk assessment on the IM function to Senior Management would help them better understand risks, the tangible benefits and consequences of not having an effective IM function, such as those outlined throughout the report. Furthermore, a risk assessment would allow the identification of parameters necessary to produce an operational plan.

Recommendation

66. The Chief Information Officer should prepare a comprehensive risk assessment that would highlight Information Management risks, impacts and benefits, and potential mitigation strategy. This risk assessment would be used as a precursor to the development of a detailed Information Management operational plan.

Allocation of IM Resources

67. The Agency should have an effective structure to manage and deliver the IM function. Table 1 highlights the situation of the Agency IM specialists as of September 30, 2009, namely:
 - the IM community is made of 42 IM specialists;
 - half of these specialists are directly accountable to the CIO; and
 - 31 IM specialists are dedicated to IM operational services to support approximately 2,340 Agency employees (this represents a ratio of 1:75)
68. We reviewed a September 2004 Health Canada (HC) report on a study of IM. The report recommended an ongoing working ratio of 1:50 as a planning target with the provision that there are factors which could influence this ratio up or down. The ratio was based on a survey of ten federal departments.
69. Based on the 1:50 ratio alone, we estimate that 47 IM specialists dedicated to IM operational services would be required to manage and deliver the IM function to the Agency employees. The Agency could therefore be understaffed by 16 IM specialists dedicated to IM operational services. Further analysis revealed that such discrepancy would mostly be in the program areas. Without additional

dedicated IM specialists in the program areas, the Agency is at risk of not properly managing and delivering its IM function.

Table 1: Situation of the Agency IM Specialists as of September 30, 2009

Location	# of IM Specialists		Duties	Reporting Relationship
Regions and Laboratories	14.1		IM operational services	Regional offices and NML
NCR	7		IM operational services	Program branches
NCR	21	10	IM operational services to NCR administrative branches	CIO
		7	IM governance services	
		4	Tobacco litigation	
TOTAL	42.1			

Recommendations

70. The Chief Information Officer should determine for Executive Committee approval the Information Management resources required for the Agency to support the success of the Information Management strategy.
71. The Executive Committee should ensure that appropriate financial and human resources are provided to support the success of the Information Management function and the implementation of the Information Management strategy.

Overall Conclusion

72. PHAC IM function is in a nascent state and it requires significant improvement in order to ensure operational effectiveness of information and records management practices in PHAC, and full compliance with TB policies and directives.

Acknowledgment

73. We wish to express our appreciation for the cooperation and assistance afforded to the audit team by management and staff during the course of this audit.

Appendix A - Audit Criteria

1. Culture - The Agency recognizes that information and the IM function is a corporate asset and strategic business function.
2. Leadership - Senior management has articulated and communicated to managers, employees and stakeholders, the Agency IM Vision Statement and Information Management (IM) Strategic Objectives that are explicitly linked to the Agency's strategic business objectives and corporate IM Principles and Values.
3. Strategic Planning - The Agency has documented its IM Strategy and has developed associated IM Plan(s) and senior management has approved them.
4. Risk Management - The Agency has developed mechanisms to identify, measure, and monitor relevant risks associated with the IM Function.
5. Roles and Responsibilities - The Agency has documented its own IM Accountability Framework pertaining to the management of the IM Function.
6. IM Community - The Agency has an effective structure to manage and deliver the IM function and has documented its human resources strategy and plan to ensure the availability of qualified people with IM knowledge and skills (employees and contractors).
7. Principles, Policies, and Standards - The Agency has documented and communicated its own IM policies (including associated business rules and standards) pertaining to the management of the IM Function.
8. Compliance - An effective monitoring process (including audit and review processes) is in place to ensure that practices and PHAC, Treasury Board (TB) and Library and Archives Canada (LAC) policies are followed and complied with.
9. User Training and Support - The Agency has an IM orientation, training, and development program for the workforce. The IM training and development program is explicitly aligned with the IM Strategy and Plan. There is a program for training the workforce in the techniques and skills for information products and services delivery.
10. User Awareness - There is a communication program for keeping Agency staff members informed about the Agency's information products and services. Information products and services are documented.
11. IM Tools - The Agency identifies, develops and implements processes for, and develops and provides tools (e.g., user manuals for IM systems), to increase their effectiveness for managing the IM Function.

12. IM Life Cycle - The Agency follows the IM life cycle specified in the TB policies:

- (a) Planning - There is a documented plan for the life cycle management of new/modified information to be created and collected by the Agency. The information requirements for operational, legislative, and policy purposes are identified and analyzed.
- (b) Collection, Creation, Receipt, and Capture - There is an effective mechanism for administering the information creation/collection criteria. There is an up-to-date authoritative source of information on the Agency's recorded information, e.g., an information map or inventory of recorded information.
- (c) Organization - There is a current, comprehensive, and well-structured identification or categorization system or systems to provide effective means for organizing and locating recorded information. There are detailed instructions or guidelines for the categorization scheme.
- (d) Use and Dissemination - There is an effective mechanism for locating recorded information at all levels of the Agency.
- (e) Disposition - There are documented processes for the disposal and preservation of recorded information. The Agency has documented and effectively communicated to the workforce the authorities for disposing of and preserving recorded information.

Appendix B - Management Action Plan

Recommendation	Management Action Plan	Officer of Prime Interest	Target Date
<p>Governance</p> <p>33. The Executive Committee should review and approve the Information Management framework and policies.</p> <p>34. The <i>Information Management Policy</i> developed by the Chief Information Officer should state that all Information Management specialists should either be accountable and/or report functionally to the Chief Information Officer.</p> <p>38. The Chief Information Officer should develop and implement a comprehensive operational plan for Information Management inclusive of reporting relationships, resourcing ratios, service delivery, and projects required to support the Information Management and Information Technology strategy.</p>	<p>Agree. a) The Draft PHAC IM Policy, Directive on IM Accountability and Responsibility as well as IM Framework documents will be circulated through the normal approval channels.</p>	<p>Senior Assistant Deputy Minister (SADM) and Chief Information Officer (CIO)</p>	<p>January 2010</p>
	<p>b) Office of the Chief Information Officer (OCIO) will seek PHAC Executive Committee (EC) approval of IM Policy Instruments.</p>	<p>CIO</p>	<p>June 2010</p>
	<p>Agree. The current Draft PHAC Directive on IM Accountability and Responsibility has been revised to incorporate this functional reporting requirement.</p>	<p>CIO</p>	<p>June 2010</p>
	<p>Agree. (a) Using standard Government of Canada (GoC) risk management tools (as per recommendation 66), a comprehensive operational plan for the IM function will be developed. The operational plan will detail the various initiatives and outline necessary resource investments to address issues relating to service ratios, service delivery, oversight and governance, organizational reporting, capacity building, electronic records</p>	<p>CIO</p>	<p>June 2010</p>

Recommendation	Management Action Plan	Officer of Prime Interest	Target Date
<p>42. The Chief Information Officer should develop and implement an Agency-wide procedure manual to standardize the Information Management operational activities across PHAC.</p>	<p>and legacy management.</p> <p>(b) Implementation of the various components of the operational plan is directly contingent on PHAC EC endorsement and resourcing to sustain activities.</p> <p>Agree. a) Given the distributed environment and varied business activities of the Agency, one standard model may not be effective nor address individual business needs. General standards can be developed with some flexibility to customize for specific business areas such as a laboratory setting. A PHAC “Records Procedures Manual” and supporting Annexes outlining customized processes will be developed in concert with the IM Community.</p> <p>b) The standard operating procedures will be implemented by IM Directorate in concert with the IM Community.</p>	<p>CIO</p> <p>CIO</p> <p>CIO</p>	<p>Starting November 2010</p> <p>June 2011</p> <p>October 2011</p>
<p>43. The Chief Information Officer should ensure that monitoring activities take place to assess the compliance of Information Management operations in all PHAC.</p>	<p>Agree. Leveraging standard GoC assessment criteria and recordkeeping program elements, report cards will be established to monitor compliance to IM operations.</p>	<p>CIO</p>	<p>Starting November 2010</p>

Recommendation	Management Action Plan	Officer of Prime Interest	Target Date
<p>IM Community</p> <p>46. The Chief Information Officer should leverage work done by Treasury Board and Government of Canada on core competencies and Information Management certification to determine a core competency profile for the Information Management community, and prepare and support an Agency-wide mandatory Information Management training plan based on current competencies.</p> <p>57. The Office of the Chief Information Officer should prepare for Executive Committee approval a strategy to fully implement an Electronic Document and Records Management System.</p>	<p>Agree. a) The OCIO will develop a standard competency profile as well as a learning 'curriculum' for IM specialists. The curriculum will build on GoC IM mandatory training at Canada School of Public Service and include training on PHAC IM standards and tools.</p> <p>b) The OCIO will seek PHAC EC endorsement of mandatory competencies and training plan.</p> <p>c) Implementation of the competency profile and plan is contingent on PHAC EC endorsement.</p> <p>Agree. As a compendium document to the IM Capacity Business Case prepared in January 2008 an Electronic Document and Records Management System (EDRMS) implementation strategy will be prepared and presented to PHAC Executive Management.</p>	<p>CIO and Director General, Human Resources Directorate</p> <p>CIO</p> <p>CIO</p> <p>CIO</p>	<p>December 2010</p> <p>February 2011</p> <p>April 2011</p> <p>June 2010</p>
<p>Training and Awareness for Staff Other Than IM Specialists</p> <p>62. The Chief Information Officer should develop and deliver mandatory Information Management awareness and training sessions to all Agency staff as an integral part of the approved Electronic Document and Records Management System implementation plan.</p>	<p>Agree. a) The EDRMS deployment strategy includes mandatory training for all employees. The purpose is to educate employees on IM requirements and demonstrate how technology can assist in meeting policy requirements. Individual one-on-one desktop coaching also</p>	<p>CIO</p>	<p>August 2010</p>

Recommendation	Management Action Plan	Officer of Prime Interest	Target Date
	<p>follows to further ensure employees understand IM concepts and how to use the tool effectively.</p> <p>b) Delivery of the mandatory training is contingent upon PHAC EC endorsement and funding.</p>	CIO	Starting September 2010
<p>Risk Management and Resources for IM Activities</p> <p>66. The Chief Information Officer should prepare a comprehensive risk assessment that would highlight Information Management risks, impacts and benefits, and potential mitigation strategy. This risk assessment would be used as a precursor to the development of a detailed Information Management operational plan.</p>	<p>Agree. Leveraging existing GoC tools, a comprehensive risk assessment will be conducted on the PHAC IM function. Risks, impacts, mitigation strategies and benefits will be prepared and incorporated into the operational plan.</p>	CIO	March 2010
<p>Allocation of IM Resources</p> <p>70. The Chief Information Officer should determine for Executive Committee approval the Information Management resources required for the Agency to support the success of the Information Management strategy.</p> <p>71. The Executive Committee should ensure that appropriate financial and human resources are provided to support the success</p>	<p>Agree. The IM strategy and IM operational plan (see recommendation 38) will outline operational resource requirements to support the success of the IM Strategy. Allocation of resources for the various initiatives supporting the IM Strategy and Operational plan is contingent on PHAC EC endorsement.</p> <p>Agree. The EC will provide the financial and human resources to the CIO to support the success of the IM function and the</p>	CIO SADM	June 2010 June 2010

Recommendation	Management Action Plan	Officer of Prime Interest	Target Date
<p>of the Information Management function and the implementation of the Information Management strategy.</p>	<p>implementation of the IM strategy in line with PHAC priorities and dependent on the availability of resources and subject to receiving and approving a costed plan for implementation.</p>		

Appendix C - List of Acronyms

Agency	Public Health Agency of Canada
CIO	Chief Information Officer
DFCS	Departmental Functional Classification Structure
EC	Executive Committee
EDRMS	Electronic Document and Records Management System
EOC	Emergency Operating Centre
HC	Health Canada
HR	Human Resources
IIA	Institute of Internal Auditors
IM	Information Management
IT	Information Technology
GoC	Government of Canada
LRS	Livelink Record Server
NCR	National Capital Region
NML	National Microbiology Laboratory
OCIO	Office of the Chief Information Officer
PHAC	Public Health Agency of Canada
RDIMS	Records Documents and Information Management System
SADM	Senior Assistant Deputy Minister
SOP	Standard Operating Procedures
TB	Treasury Board

Appendix D - List of IM Classification Structures

Name	Description	Status
AXS.V1	HC classification structure	No longer used
ARMS	HC legacy structure used to classify HR documents. The OCIO plans to convert the classification codes of HR documents to the DFCS structure by the end of 2009-10 fiscal year.	Still being used
DR2-RICS	Old HC classification format	No longer used
DRRRP	Structure of classification using subject names	Still being used but is rapidly being abandoned to use the DFCS structure
DFCS	Classification structure by program functions and activities.	This is the current PHAC standard and IM specialists have been trained to use it. It is rapidly replacing all the other classification structures.

AXS.V1: Access Version 1
 ARMS: Automated Records Management System
 DR2-RICS: Recorded Information Classification Structure
 DRRRP: Departmental Record Review and Rationalization Process
 DFCS: Departmental Functional Classification System